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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

On

3 Jan. 2005

TOWNSEND and TOWNSEND and CREW LLP

By:

Malinda D. Delfino

PATENT

Attorney Docket no. 02307K-141312US
Client Ref. no. 96-540-4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Charles L. Sawyers *et al.*

Application No.: 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN
PROSTATE CANCER PROGRESSION

Customer No.: 20350

Confirmation No. 4057

Examiner: Joanne Hama

Group Art Unit: 1632

PETITION UNDER 37 CFR §1.183

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR §1.183, Applicants hereby petition for waiver of the provisions of 37 C.F.R. §1.67 in order to file a supplemental Declaration where a joint inventor refuses to sign or cannot be found or reached after diligent effort.

Proof of the pertinent facts is submitted with the petition, to properly establish that a diligent effort has been made to obtain the signature of joint inventor Dr. Karen A. Klein. Specifically, Applicants are submitting the following items in Exhibit A: a photocopy of the letter sent to Dr. Klein (dated July 29, 2004) that accompanied the substitute Declaration, which was sent via priority FedEx, along with a pre-paid envelope for returning the signed substitute Declaration; and a copy of FedEx proof of delivery.

The Examiner deemed the original Declaration filed in this application as defective and required filing of a compliant Declaration. All of the inventors (Drs. Sawyers, Witte, Reiters, and Klein) signed the Declaration as originally filed in the application.

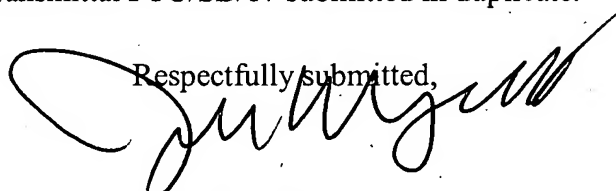
The last known address of Dr. Klein is 174 Denslow Avenue, Los Angeles, CA 90049. An attempt was made by Applicant's agents to reach Dr. Klein to obtain her signature on the substitute Declaration for the instant application at this address. The delivery to her home address was sent via FedEx (see Exhibit A). This delivery was signed for by someone at the residence (also Exhibit A).

Applicants have also repeatedly attempted to reach the inventor in November of 2003 to obtain signatures for Declarations for filing in U.S. Application Nos. 10/062,684; 10/062,738; and 10/062, 738, which also claim priority to the same parent applications. On November 18, 2003, Applicants' agent spoke to Dr. Klein on the phone. She confirmed at that time that her home address of record was current.

In view of the foregoing, we petition to proceed without Dr. Klein's signature. The other joint inventors, Drs. Sawyers, Witte, and Reiter, have executed the substitute Declaration for the application (enclosed). Because Dr. Klein has not signed the document after diligent effort, Applicants respectfully request waiver of the provisions of 37 C.F.R. § 1.67.

Please charge fee for filing this petition to our Deposit Account No. 20-1430 in accordance with the accompanying Fee Transmittal PTO/SB/17 submitted in duplicate.

Respectfully submitted,



Jean M. Lockyer
Reg. No. 44,879

TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, Eighth Floor
San Francisco, California 94111-3834
Tel: 415-576-0200
Fax: 415-576-0300
JML:jml
60388881 v1

TOWNSEND
and
TOWNSEND
and
CREW
LLP



Palo Alto, California
Tel 650 326-2400

Walnut Creek, California
Tel 925 472-5000

San Diego, California
Tel 858-350-6100

Denver, Colorado
Tel 303 571-4000

Seattle, Washington
Tel 206 467-9600

San Francisco

Two Embarcadero Center
8th Floor
San Francisco
California 94111-3834
Tel 415 576-0200
Fax 415 576-0300

July 29, 2004

FedEx

Dr. Charles L. Sawyers
11-934 Fator Building
UCLA-Hematology/Oncology
10833 Le Conte Avenue
Los Angeles, CA 90095

Dr. Karen A. Klein
174 Denslow Avenue
Los Angeles, CA 90049

Dr. Owen N. Witte
HHMI/UCLA
5-720 MRL
675 Charles E. Young Drive South
Box 951622
Los Angeles, CA 90095-1662

Robert Reiter, M.D.
University of California - Los Angeles
Department of Urology
Room 66-128
10833 Leconte Avenue
Los Angeles, CA 90095

Re: US Patent Application No. 10/022,115
filed December 14, 2001
for MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION
Inventors: Charles L. Sawyers *et al.*
UC Case No. 96-540-4
Our file No. 02307K-1413-12US

Dear Doctors:

Enclosed is a revised Declaration for the above application. (New Declarations are required in numerous continuing cases because the Declaration filed with the original parent application was defective.) Please sign, date and return the enclosed document in the envelope provided at your early convenience.

Thank you.

Very truly yours,


Jean M. Lockyer, Ph.D.
Patent Agent

JML/mcd
Enclosure

60273212 v1



FedEx Express
Customer Support Trace
3875 Airways Boulevard
Module H, 4th Floor
Memphis, TN 38116

U.S. Mail: PO Box 727
Memphis, TN 38194-4643

Telephone: 901-369-3600

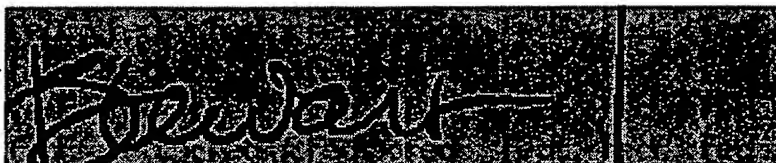
8/11/2004

Dear Customer:

Here is the proof of delivery for the shipment with tracking number **790717015483**. Our records reflect the following information.

Delivery Information:

Signed For By: K.KLEIN



Delivery Location: 174 DENSLOW AVE.

Delivery Date: August 3, 2004

Delivery Time: 1112

Shipping Information:

Tracking No: 790717015483

Ship Date: July 30, 2004

Recipient:
KAREN KLEIN

174 DENSLOW AVE.
LOS ANGELES, CA 90049
US

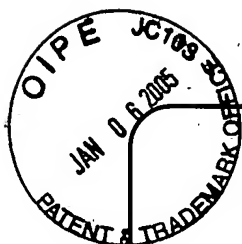
Shipper:
MALINDA DAGIT
TOWNSEND & TOWNSEND & CREW
2 EMBARCADERO CTR FL 8
SAN FRANCISCO, CA 941113833
US

Shipment Reference Information:

02307K-1413-14US

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Reference No.: R2004081100152989920



PTO/SB/21 (09-04)

**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/022,115
Filing Date	December 14, 2001
First Named Inventor	Sawyers, Charles L.
Art Unit	1632
Examiner Name	Joanne Hamia
Attorney Docket Number	02307K-141312US

ENCLOSURES (Check all that apply)

- | | | |
|---|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form-In duplicate
<input type="checkbox"/> Fee Attached
<input checked="" type="checkbox"/> Amendment/Reply-"Amendment"
w/Appendix 1
<input type="checkbox"/> After Final
<input checked="" type="checkbox"/> Affidavits/declaration(s)-
"Declaration Under 37 CFR 1.131"
w/Exhibit A
<input checked="" type="checkbox"/> Extension of Time Request-3 mos.
per accompanying Fee Transmittal
<input type="checkbox"/> Express Abandonment Request
<input type="checkbox"/> Information Disclosure Statement

<input type="checkbox"/> Certified Copy of Priority
Document(s)

<input type="checkbox"/> Reply to Missing Parts/ Incomplete
Application
<input type="checkbox"/> Reply to Missing Parts
under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)
<input type="checkbox"/> Licensing-related Papers
<input checked="" type="checkbox"/> Petition-Under 37 CFR 1.183
w/Exhibit A
<input type="checkbox"/> Petition to Convert to a
Provisional Application
<input checked="" type="checkbox"/> Power of Attorney, Revocation
Change of Correspondence Address

<input checked="" type="checkbox"/> Terminal Disclaimer-(TWO)

<input type="checkbox"/> Request for Refund

<input type="checkbox"/> CD, Number of CD(s) _____
<input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication to TC
<input type="checkbox"/> Appeal Communication to Board
of Appeals and Interferences
<input type="checkbox"/> Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)

<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Status Letter

<input checked="" type="checkbox"/> Other Enclosure(s) (please identify
below):
1)-Executed Declaration (oath) in three
counterparts
2)-3.73(b) Statement
3)-Return Postcard |
|---|---|---|
- ☐ Remarks The Commissioner is authorized to charge any additional fees to Deposit
Account 20-1430.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Townsend and Townsend and Crew LLP		
Signature			
Printed name	Jean M. Lockyer, Ph.D.		
Date	January 3, 2005	Reg. No.	44,879

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature

Typed or printed name

Malinda C. Dagit

Date

3 Jan. 2005



FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 705

Complete if Known

Application Number	10/022,115
Filing Date	December 14, 2001
First Named Inventor	Sawyers, Charles L.
Examiner Name	Joanne Hama
Art Unit	1632
Attorney Docket No.	02307K-141312US

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None☒ Deposit Account:Deposit
Account
Number

20-1430

Deposit
Account
Name

Townsend and Townsend and Crew LLP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1)

(\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		Extra Claims		Fee from below		Fee Paid
	**	=		X		
Independent Claims		**	=		X	
Multiple Dependent				X		

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	88	2201	44	Independent claims in excess of 3
1203	300	2203	150	Multiple dependent claim, if not paid
1204	88	2204	44	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	510
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	130
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify) Terminal Disclaimer					65

*Reduced by Basic Filing Fee Paid SUBTOTAL (3)

(\$)705

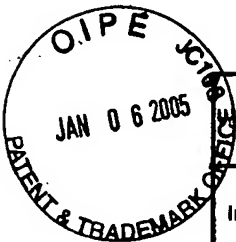
SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Jean M. Lockyer, Ph.D.	Registration No. (Attorney/Agent)	44,879	Telephone	415-576-0200
Signature				Date	January 3, 2005

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

PTO/SB/28 (08-03)


**TERMINAL DISCLAIMER TO OBVIATE A DOUBLE PATENTING
REJECTION OVER A PRIOR PATENT**

 Docket Number (Optional)
02307K-141312
In re Application of: Charles L. Sawyers *et al.*

Application No. 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION

The owner, The Regents of the University of California of one-hundred percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 and 173, as presently shortened by any terminal disclaimer, of prior Patent Nos. 6,107,540 and 6,365,797. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and the prior patent are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

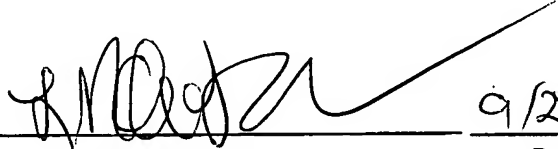
In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 and 173 of the prior patent, as presently shortened by any terminal disclaimer, in the event that it later: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims canceled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as presently shortened by any terminal disclaimer.

Check either box 1 or 2 below, if appropriate.

1. ☒ For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2. ☐ The undersigned is an attorney of record.


Signature Date 9/29/04

LORELEI DE LARENA
INTELLECTUAL PROPERTY MANAGER
UCLA Office of Intellectual Property Administration

- ☒ Terminal disclaimer fee under 37 CFR 1.20(d) is included.

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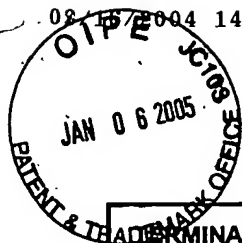
*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.

60310386 v1

01/07/2005 ZJUHR1 00000082 201430 10022115

02 FC:2814 65.00 DA

PTO/SB/25 (08-03)


**TERMINAL DISCLAIMER TO OBTAIN A PROVISIONAL DOUBLE PATENTING
REJECTION OVER A PENDING SECOND APPLICATION**

 Docket Number (Optional)
02307K-141312
In re Application of: Charles L. Sawyers *et al.*

Application No. 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION

The owner*, The Regents of the University of California, of one-hundred percent interest in the instant application hereby disclaims, except as provided below, the terminal part of the statutory term of any patent granted on the instant application, which would extend beyond the expiration date of the full statutory term defined in 35 U.S.C. 154 and 173 as shortened by any terminal disclaimer filed prior to the grant of any patent granted on pending second Application Numbers 10/062,925 and 10/068,266, both filed on January 30, 2002, of any patent on the pending second application. The owner hereby agrees that any patent so granted on the instant application shall be enforceable only for and during such period that it and any patent granted on the second application are commonly owned. This agreement runs with any patent granted on the instant application and is binding upon the grantee, its successors or assigns.

In making the above disclaimer, the owner does not disclaim the terminal part of any patent granted on the instant application that would extend to the expiration date of the full statutory term as defined in 35 U.S.C. 154 and 173 of any patent granted on the second application, as shortened by any terminal disclaimer filed prior to the patent grant, in the event that any such granted patent: expires for failure to pay a maintenance fee, is held unenforceable, is found invalid by a court of competent jurisdiction, is statutorily disclaimed in whole or terminally disclaimed under 37 CFR 1.321, has all claims canceled by a reexamination certificate, is reissued, or is in any manner terminated prior to the expiration of its full statutory term as shortened by any terminal disclaimer filed prior to its grant.

Check either box 1 or 2 below, if appropriate.

1. ☒ For submissions on behalf of an organization (e.g., corporation, partnership, university, government agency, etc.), the undersigned is empowered to act on behalf of the organization.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

2. ☐ The undersigned is an attorney of record.

Signature

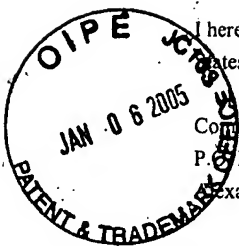
Date

Typed or printed name
LORELEI DE LARENA
INTELLECTUAL PROPERTY MANAGER
UCLA Office of Intellectual Property Administration

- ☒ Terminal disclaimer fee under 37 CFR 1.20(d) is included.

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

*Statement under 37 CFR 3.73(b) is required if terminal disclaimer is signed by the assignee (owner).
Form PTO/SB/96 may be used for making this certification. See MPEP § 324.



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PATENT
Attorney Docket No.: 02307K-141312US
Client Ref. No.: 96-540-4

On

3 Jan. 2005

TOWNSEND and TOWNSEND and CREW LLP

By:

Malinda Wajit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Charles L. Sawyers et al.

Application No.: 10/022,115

Filed: December 14, 2001

For: MICE MODELS OF HUMAN
PROSTATE CANCER PROGRESSION

Customer No.: 20350

Confirmation No. 4057

Examiner: Joanne Hama

Technology Center/Art Unit: 1632

DECLARATION UNDER 37 C.F.R. § 1.131

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

We, Charles Sawyers, Owen Witte, Robert Reiter, and Karen Klein, hereby declare that:

1. We are the sole inventors of the subject matter disclosed and claimed in the above-referenced U.S. Patent Application.
2. We completed the claimed invention in the United States prior to December 1995. Attached Exhibit A provides evidence of the completion of the invention. The dates on the Exhibit and unrelated information have been redacted. All redacted dates are prior to December 1995.

3. The present invention relates to methods of assessing the effect of a composition or treatment on human prostate cancer. The methods employ an immune deficient mouse that has a human prostate xenograft of locally advanced or metastatic prostate cancer. The mouse is subject to the composition or treatment and the effects are then determined.

4. Prior to December 1995, we submitted an INVENTION REPORT to our employer showing completion of the claimed invention. The INVENTION REPORT is attached as Exhibit A. The REPORT indicates that, prior to December 1995, we developed *in vivo* prostate cancer models using immunodeficient SCID mice. We established two xenografts that could be serially transplanted. These xenografts retain the clinical features of prostate cancer. These models can be used as a tool to screen potential prostate cancer drugs. In light of these results, we prepared the INVENTION REPORT.

5. In view of the foregoing, we respectfully submit that Exhibit A, the INVENTION REPORT, unequivocally establishes that the claimed invention was conceived of and reduced to practice prior to December 1995.

We further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed: Charles J. Sawyer
Charles Sawyers

Dated: Nov 29, 2004

Signed: _____
Owen Witte

Dated: _____

Signed: _____
Robert Reiter

Dated: _____

Signed: _____
Karen Klein

Dated: _____

3. The present invention relates to methods of assessing the effect of a composition or treatment on human prostate cancer. The methods employ an immune deficient mouse that has a human prostate xenograft of locally advanced or metastatic prostate cancer. The mouse is subject to the composition or treatment and the effects are then determined.

4. Prior to December 1995, we submitted an INVENTION REPORT to our employer showing completion of the claimed invention. The INVENTION REPORT is attached as Exhibit A. The REPORT indicates that, prior to December 1995, we developed *in vivo* prostate cancer models using immunodeficient SCID mice. We established two xenografts that could be serially transplanted. These xenografts retain the clinical features of prostate cancer. These models can be used as a tool to screen potential prostate cancer drugs. In light of these results, we prepared the INVENTION REPORT.

5. In view of the foregoing, we respectfully submit that Exhibit A, the INVENTION REPORT, unequivocally establishes that the claimed invention was conceived of and reduced to practice prior to December 1995.

We further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed: _____
Charles Sawyers

Dated: _____

Signed: 
Owen Witte

Dated: 11-23-04

Signed: _____
Robert Reiter

Dated: _____

Signed: _____
Karen Klein

Dated: _____

3. The present invention relates to methods of assessing the effect of a composition or treatment on human prostate cancer. The methods employ an immune deficient mouse that has a human prostate xenograft of locally advanced or metastatic prostate cancer. The mouse is subject to the composition or treatment and the effects are then determined.

4. Prior to December 1995, we submitted an INVENTION REPORT to our employer showing completion of the claimed invention. The INVENTION REPORT is attached as Exhibit A. The REPORT indicates that, prior to December 1995, we developed *in vivo* prostate cancer models using immunodeficient SCID mice. We established two xenografts that could be serially transplanted. These xenografts retain the clinical features of prostate cancer. These models can be used as a tool to screen potential prostate cancer drugs. In light of these results, we prepared the INVENTION REPORT.

5. In view of the foregoing, we respectfully submit that Exhibit A, the INVENTION REPORT, unequivocally establishes that the claimed invention was conceived of and reduced to practice prior to December 1995.

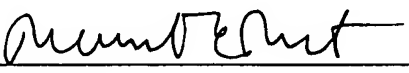
We further declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements are made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed: _____
Charles Sawyers

Dated: _____

Signed: _____
Owen Witte

Dated: _____

Signed: 
Robert Reiter

Dated: 11/30/01

Signed: _____
Karen Klein

Dated: _____



UNIVERSITY OF CALIFORNIA, LOS ANGELES
INVENTION REPORT
(UCLA Standard Procedure 950.1)

4470-040-01
CONFIDENTIAL INFORMATION
RECEIVED

When completed and signed, this Invention Report becomes an official and confidential University document that describes a possibly patentable invention, discovery, idea, process, device, or improvement. To the extent possible, please provide all the information requested. The information provided will be crucial in determining the patentability and commercial potential of the invention. Call the UCLA Office of Intellectual Property Administration at (310) 206-4401 for additional information or assistance in completing the Invention Report.

OFFICE OF INTELLECTUAL
PROPERTY ADMINISTRATION

1. Give a short descriptive title for the invention that does not reveal important details.
The development of a unique model for human prostate cancer.
2. Give a brief description of the invention. Describe its purpose or utility, the state of the art prior to the invention, how it functions in detail, the best way of practicing the invention, and its advantages or improvements over existing practices. Use additional pages as needed and attach any descriptive illustrations or written materials.
Please see the attachment.

3. Identify the sources of support used in making the invention including the name of each source and, if applicable, the grant/contract identification number and name of the Principal Investigator. Research agreements often carry University patent obligations to sponsors.

Funding Source/Sponsor

Contract/Grant Number

Principal Investigator

UCLA Prostate Disease Program

Charles L. Sawyers

NIH Postdoctoral Training Grant T32-GM-08243 (Karen Klein)

4. Identify the sources of any proprietary biological, chemical, or other materials or computer software used in making the invention that were obtained under an agreement of confidentiality, restricted use, or other condition. Attach copies of the agreements.

Source of Materials

Identification of Materials

None.

5. Give the date the invention was first conceived.
6. Give the date the invention was first successfully tested in simulation or actual use.
7. Identify any persons, other than University employees, and their employers to whom the invention has been described orally or in writing.

None.

8. Identify companies that are or may be interested in using or marketing the invention.
Urocor, Inc.
800 Research Parkway
Oklahoma City, Oklahoma 73104

University of California, Los Angeles

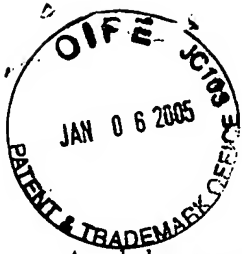
INVENTION REPORT

(Charles L. Sawyers, M.D., Karen Klein, Ph.D.)

2. attachment

The major cause of morbidity and mortality from prostate cancer is advanced stage, androgen-independent disease. Based on currently available data it is believed that disease progression in prostate cancer results from specific genetic alterations. The purpose of this invention is to develop a system to propagate advanced stage human prostate cancer in severe combined immunodeficient (SCID) mice. The invention can be used as a tool to identify prostate cancer genes and to screen potential prostate cancer drugs.

Several groups have used athymic (T cell deficient) nude mice as tools to propagate human prostate cancer tissue, with limited success (Pretlow et al., 1991, 1993). We have used our experience with human leukemia xenografts (Sawyers et al., 1992) to develop an in vivo prostate cancer model using immunodeficient SCID mice. We have successfully established two xenografts which can be serially transplanted. These xenografts represent major improvements over previous work because they can be maintained and expanded indefinitely, they retain the clinical features of prostate cancer (i.e., expression of prostate specific antigen and androgen receptor), and we have developed androgen-dependent and independent sublines that reflect the different clinical stages of prostate cancer.



DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION** the specification of which ____ is attached hereto or X was filed on **December 14, 2001** as Application No. **10/022,115** and was amended on _____ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date


I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status
09/567,202	05/08/00	Patent No. 6,365,797 B1
08/951,143	10/15/97	Patent No. 6,107,540
08/732,676	10/15/96	abandoned

Full Name of Inventor 1:	Last Name: SAWYERS	First Name: CHARLES	Middle Name or Initial: L.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 3343 Mandeville Canyon Road	City: Los Angeles	State/Country: California	Postal Code: 90049

Full Name of Inventor 2:	Last Name: KLEIN	First Name: KAREN	Middle Name or Initial: A.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 174 Denslow Avenue	City: Los Angeles	State/Country: California	Postal Code: 90049
Full Name of Inventor 3:	Last Name: WITTE	First Name: OWEN	Middle Name or Initial: N.	
Residence & Citizenship:	City: Sherman Oaks	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 14727 Sutton Drive	City: Sherman Oaks	State/Country: California	Postal Code: 91403
Full Name of Inventor 4:	Last Name: REITER	First Name: ROBERT	Middle Name or Initial: E.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 10511 Kinnard Avenue	City: Los Angeles	State/Country: California	Postal Code: 90024

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Charles L. Sawyers Date 8/3/04	Signature of Inventor 2 _____ Karen A. Klein Date	Signature of Inventor 3 _____ Owen N. Witte Date
Signature of Inventor 4 _____ Robert E. Reiter Date		

**DECLARATION**

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION** the specification of which _____ is attached hereto or X was filed on **December 14, 2001** as Application No. **10/022,115** and was amended on _____ (if applicable).

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Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

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Application No.	Filing Date

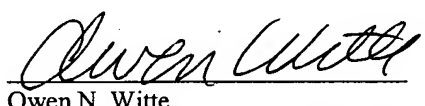
I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

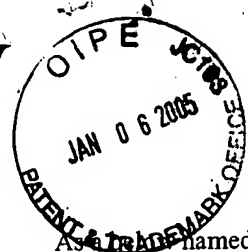
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09/567,202	05/08/00	Patent No. 6,365,797 B1
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08/732,676	10/15/96	abandoned

Full Name of Inventor 1:	Last Name: SAWYERS	First Name: CHARLES	Middle Name or Initial: L.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 3343 Mandeville Canyon Road	City: Los Angeles	State/Country: California	Postal Code: 90049

Full Name of Inventor 2:	Last Name: KLEIN	First Name: KAREN	Middle Name or Initial: A.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 174 Denslow Avenue	City: Los Angeles	State/Country: California	Postal Code: 90049
Full Name of Inventor 3:	Last Name: WITTE	First Name: OWEN	Middle Name or Initial: N.	
Residence & Citizenship:	City: Sherman Oaks	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 14727 Sutton Drive	City: Sherman Oaks	State/Country: California	Postal Code: 91403
Full Name of Inventor 4:	Last Name: REITER	First Name: ROBERT	Middle Name or Initial: E.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 10511 Kinnard Avenue	City: Los Angeles	State/Country: California	Postal Code: 90024

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1 <hr/> Charles L. Sawyers Date	Signature of Inventor 2 <hr/> Karen A. Klein Date	Signature of Inventor 3  <hr/> Owen N. Witte Date <i>Aug 2, 2004</i>
Signature of Inventor 4 <hr/> Robert E. Reiter Date		



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Application No.	Filing Date

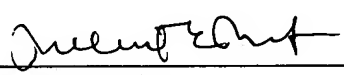
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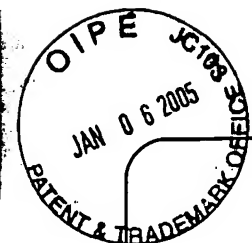
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08/732,676	10/15/96	abandoned

Full Name of Inventor 1:	Last Name: SAWYERS	First Name: CHARLES	Middle Name or Initial: L.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 3343 Mandeville Canyon Road	City: Los Angeles	State/Country: California	Postal Code: 90049

Full Name of Inventor 2:	Last Name: KLEIN	First Name: KAREN	Middle Name or Initial: A.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 174 Denslow Avenue	City: Los Angeles	State/Country: California	Postal Code: 90049
Full Name of Inventor 3:	Last Name: WITTE	First Name: OWEN	Middle Name or Initial: N.	
Residence & Citizenship:	City: Sherman Oaks	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 14727 Sutton Drive	City: Sherman Oaks	State/Country: California	Postal Code: 91403
Full Name of Inventor 4:	Last Name: REITER	First Name: ROBERT	Middle Name or Initial: E.	
Residence & Citizenship:	City: Los Angeles	State/Foreign Country: California	Country of Citizenship: United States	
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Signature of Inventor 1 _____ Charles L. Sawyers Date	Signature of Inventor 2 _____ Karen A. Klein Date	Signature of Inventor 3 _____ Owen N. Witte Date
Signature of Inventor 4  _____ Robert E. Reiter Date 8/2/04		



**REVOCATION OF POWER OF
ATTORNEY WITH
NEW POWER OF ATTORNEY
AND
CHANGE OF CORRESPONDENCE ADDRESS**

Application Number	10/022,115
Filing Date	December 14, 2001
First Named Inventor	Sawyers, Charles L.
Art Unit	1632
Examiner Name	Joanne Hama
Attorney Docket Number	02307K-141312US

I hereby revoke all previous powers of attorney given in the above-identified application:

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners associated with the Customer Number:

20350

☒ Please change the correspondence address for the above-identified application to:

☒ The address associated with
Customer Number:

20350

OR

☐ Firm or
Individual Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name Lorelei de Larena

Signature

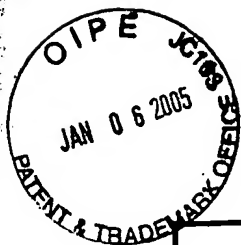
Date

Telephone

(310) 794-0558

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Charles L. Sawyers et al.Application No./Patent No.: 10/022,115Filed/Issue Date: December 14, 2001Entitled: MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSIONThe Regents of the University of California, a California Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 010704, Frame 0291, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

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Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

11/10/04
Date

(310) 794-0558
Telephone number

Lorelei de Larena
Typed or printed name
[Signature]
Signature

Intellectual Property Manager
Title

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